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NOTICE OF ALLOWANCE AND FEE(S) DUE

21186 7590 05/05/2011
SCHWEGMAN, LUNDBERG & WOESSNER, P.A.
P.O. BOX 2938
MINNEAPOLIS, MN 55402

EXAMINER

BLAIR, DOUGLAS B

ART UNIT

PAPER NUMBER

2442

DATE MAILED: 05/05/2011

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/676,231	09/30/2003	Stephen R. Carter	1565.060US1	6382

TITLE OF INVENTION: POLICY AND ATTRIBUTE BASED ACCESS TO A RESOURCE

APPLN. TYPE	SMALL ENTITY	ISSUE FEE DUE	PUBLICATION FEE DUE	PREV. PAID ISSUE FEE	TOTAL FEE(S) DUE	DATE DUE
nonprovisional	NO	\$1510	\$300	\$0	\$1810	08/05/2011

THE APPLICATION IDENTIFIED ABOVE HAS BEEN EXAMINED AND IS ALLOWED FOR ISSUANCE AS A PATENT. **PROSECUTION ON THE MERITS IS CLOSED.** THIS NOTICE OF ALLOWANCE IS NOT A GRANT OF PATENT RIGHTS. THIS APPLICATION IS SUBJECT TO WITHDRAWAL FROM ISSUE AT THE INITIATIVE OF THE OFFICE OR UPON PETITION BY THE APPLICANT. SEE 37 CFR 1.313 AND MPEP 1308.

THE ISSUE FEE AND PUBLICATION FEE (IF REQUIRED) MUST BE PAID WITHIN **THREE MONTHS FROM THE MAILING DATE OF THIS NOTICE** OR THIS APPLICATION SHALL BE REGARDED AS ABANDONED. **THIS STATUTORY PERIOD CANNOT BE EXTENDED.** SEE 35 U.S.C. 151. THE ISSUE FEE DUE INDICATED ABOVE DOES NOT REFLECT A CREDIT FOR ANY PREVIOUSLY PAID ISSUE FEE IN THIS APPLICATION. IF AN ISSUE FEE HAS PREVIOUSLY BEEN PAID IN THIS APPLICATION (AS SHOWN ABOVE), THE RETURN OF PART B OF THIS FORM WILL BE CONSIDERED A REQUEST TO REAPPLY THE PREVIOUSLY PAID ISSUE FEE TOWARD THE ISSUE FEE NOW DUE.

HOW TO REPLY TO THIS NOTICE:

I. Review the SMALL ENTITY status shown above.

If the SMALL ENTITY is shown as YES, verify your current SMALL ENTITY status:

A. If the status is the same, pay the TOTAL FEE(S) DUE shown above.

B. If the status above is to be removed, check box 5b on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and twice the amount of the ISSUE FEE shown above, or

If the SMALL ENTITY is shown as NO:

A. Pay TOTAL FEE(S) DUE shown above, or

B. If applicant claimed SMALL ENTITY status before, or is now claiming SMALL ENTITY status, check box 5a on Part B - Fee(s) Transmittal and pay the PUBLICATION FEE (if required) and 1/2 the ISSUE FEE shown above.

II. PART B - FEE(S) TRANSMITTAL, or its equivalent, must be completed and returned to the United States Patent and Trademark Office (USPTO) with your ISSUE FEE and PUBLICATION FEE (if required). If you are charging the fee(s) to your deposit account, section "4b" of Part B - Fee(s) Transmittal should be completed and an extra copy of the form should be submitted. If an equivalent of Part B is filed, a request to reapply a previously paid issue fee must be clearly made, and delays in processing may occur due to the difficulty in recognizing the paper as an equivalent of Part B.

III. All communications regarding this application must give the application number. Please direct all communications prior to issuance to Mail Stop ISSUE FEE unless advised to the contrary.

IMPORTANT REMINDER: Utility patents issuing on applications filed on or after Dec. 12, 1980 may require payment of maintenance fees. It is patentee's responsibility to ensure timely payment of maintenance fees when due.

PART B - FEE(S) TRANSMITTAL

Complete and send this form, together with applicable fee(s), to: Mail

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Commissioner for Patents
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INSTRUCTIONS: This form should be used for transmitting the **ISSUE FEE** and **PUBLICATION FEE** (if required). Blocks 1 through 5 should be completed where appropriate. All further correspondence including the Patent, advance orders and notification of maintenance fees will be mailed to the current correspondence address as indicated unless corrected below or directed otherwise in Block 1, by (a) specifying a new correspondence address; and/or (b) indicating a separate "FEE ADDRESS" for maintenance fee notifications.

CURRENT CORRESPONDENCE ADDRESS (Note: Use Block 1 for any change of address)

Note: A certificate of mailing can only be used for domestic mailings of the Fee(s) Transmittal. This certificate cannot be used for any other accompanying papers. Each additional paper, such as an assignment or formal drawing, must have its own certificate of mailing or transmission.

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Certificate of Mailing or Transmission

I hereby certify that this Fee(s) Transmittal is being deposited with the United States Postal Service with sufficient postage for first class mail in an envelope addressed to the Mail Stop ISSUE FEE address above, or being facsimile transmitted to the USPTO (571) 273-2885, on the date indicated below.

(Depositor's name)
(Signature)
(Date)

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10/676,231	09/30/2003	Stephen R. Carter	1565.060US1	6382

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nonprovisional	NO	\$1510	\$300	\$0	\$1810	08/05/2011

EXAMINER	ART UNIT	CLASS-SUBCLASS
BLAIR, DOUGLAS B	2442	709-225000

1. Change of correspondence address or indication of "Fee Address" (37 CFR 1.363).

- ☐ Change of correspondence address (or Change of Correspondence Address form PTO/SB-112) attached;
☐ "Fee Address" indication (or "Fee Address" Indication form PTO/SB-47; Rev 03-02 or more recent) attached. Use of a **Customer Number is required.**

2. For printing on the patent front page, list

- (1) the names of up to 3 registered patent attorneys or agents OR, alternatively, _____
(2) the name of a single firm (having as a member a registered attorney or agent) and the names of up to 2 registered patent attorneys or agents. If no name is listed, no name will be printed. _____

3. ASSIGNEE NAME AND RESIDENCE DATA TO BE PRINTED ON THE PATENT (print or type)

PLEASE NOTE: Unless an assignee is identified below, no assignee data will appear on the patent. If an assignee is identified below, the document has been filed for recordation as set forth in 37 CFR 3.111. Completion of this form is NOT a substitute for filing an assignment.

(A) NAME OF ASSIGNEE _____

(B) RESIDENCE: (CITY and STATE OR COUNTRY) _____

Please check the appropriate assignee category or categories (will not be printed on the patent): ☐ Individual ☐ Corporation or other private group entity ☐ Government

4a. The following fee(s) are submitted:

- ☐ Issue Fee
☐ Publication Fee (No small entity discount permitted)
☐ Advance Order - # of Copies _____

4b. Payment of Fee(s): (Please first reuply any previously paid issue fee shown above)

- ☐ A check is enclosed.
☐ Payment by credit card. Form PTO-2038 is attached.
☐ The Director is hereby authorized to charge the required fee(s), any deficiency, or credit any overpayment, to Deposit Account Number _____ (enclose an extra copy of this form).

5. **Change in Entity Status** (from status indicated above)

- ☐ a. Applicant claims **SMALL ENTITY** status. See 37 CFR 1.27. ☐ b. Applicant is no longer claiming **SMALL ENTITY** status. See 37 CFR 1.27(g)(2).

NOTE: The Issue Fee and Publication Fee (if required) will not be accepted from anyone other than the applicant; a registered attorney or agent; or the assignee or other party in interest as shown by the records of the United States Patent and Trademark Office.

Authorized Signature _____ Date _____

Typed or printed name _____ Registration No. _____

This collection of information is required by 37 CFR 1.311. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, Virginia 22313-1450. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.**

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EXAMINER

BLAIR, DOUGLAS B

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Determination of Patent Term Adjustment under 35 U.S.C. 154 (b) (application filed on or after May 29, 2000)

The Patent Term Adjustment to date is 1130 day(s). If the issue fee is paid on the date that is three months after the mailing date of this notice and the patent issues on the Tuesday before the date that is 28 weeks (six and a half months) after the mailing date of this notice, the Patent Term Adjustment will be 1130 day(s).

If a Continued Prosecution Application (CPA) was filed in the above-identified application, the filing date that determines Patent Term Adjustment is the filing date of the most recent CPA.

Applicant will be able to obtain more detailed information by accessing the Patent Application Information Retrieval (PAIR) WEB site (<http://pair.uspto.gov>).

Any questions regarding the Patent Term Extension or Adjustment determination should be directed to the Office of Patent Legal Administration at (571)-272-7702. Questions relating to issue and publication fee payments should be directed to the Customer Service Center of the Office of Patent Publication at 1-(888)-786-0101 or (571)-272-4200.

Privacy Act Statement

The Privacy Act of 1974 (P.L. 93-579) requires that you be given certain information in connection with your submission of the attached form related to a patent application or patent. Accordingly, pursuant to the requirements of the Act, please be advised that: (1) the general authority for the collection of this information is 35 U.S.C. 2(b)(2); (2) furnishing of the information solicited is voluntary; and (3) the principal purpose for which the information is used by the U.S. Patent and Trademark Office is to process and/or examine your submission related to a patent application or patent. If you do not furnish the requested information, the U.S. Patent and Trademark Office may not be able to process and/or examine your submission, which may result in termination of proceedings or abandonment of the application or expiration of the patent.

The information provided by you in this form will be subject to the following routine uses:

1. The information on this form will be treated confidentially to the extent allowed under the Freedom of Information Act (5 U.S.C. 552) and the Privacy Act (5 U.S.C. 552a). Records from this system of records may be disclosed to the Department of Justice to determine whether disclosure of these records is required by the Freedom of Information Act.
2. A record from this system of records may be disclosed, as a routine use, in the course of presenting evidence to a court, magistrate, or administrative tribunal, including disclosures to opposing counsel in the course of settlement negotiations.
3. A record in this system of records may be disclosed, as a routine use, to a Member of Congress submitting a request involving an individual, to whom the record pertains, when the individual has requested assistance from the Member with respect to the subject matter of the record.
4. A record in this system of records may be disclosed, as a routine use, to a contractor of the Agency having need for the information in order to perform a contract. Recipients of information shall be required to comply with the requirements of the Privacy Act of 1974, as amended, pursuant to 5 U.S.C. 552a(m).
5. A record related to an International Application filed under the Patent Cooperation Treaty in this system of records may be disclosed, as a routine use, to the International Bureau of the World Intellectual Property Organization, pursuant to the Patent Cooperation Treaty.
6. A record in this system of records may be disclosed, as a routine use, to another federal agency for purposes of National Security review (35 U.S.C. 181) and for review pursuant to the Atomic Energy Act (42 U.S.C. 218(c)).
7. A record from this system of records may be disclosed, as a routine use, to the Administrator, General Services, or his/her designee, during an inspection of records conducted by GSA as part of that agency's responsibility to recommend improvements in records management practices and programs, under authority of 44 U.S.C. 2904 and 2906. Such disclosure shall be made in accordance with the GSA regulations governing inspection of records for this purpose, and any other relevant (i.e., GSA or Commerce) directive. Such disclosure shall not be used to make determinations about individuals.
8. A record from this system of records may be disclosed, as a routine use, to the public after either publication of the application pursuant to 35 U.S.C. 122(b) or issuance of a patent pursuant to 35 U.S.C. 151. Further, a record may be disclosed, subject to the limitations of 37 CFR 1.14, as a routine use, to the public if the record was filed in an application which became abandoned or in which the proceedings were terminated and which application is referenced by either a published application, an application open to public inspection or an issued patent.
9. A record from this system of records may be disclosed, as a routine use, to a Federal, State, or local law enforcement agency, if the USPTO becomes aware of a violation or potential violation of law or regulation.

Notice of Allowability**Application No.**

10/676,231

Examiner

DOUGLAS B. BLAIR

Applicant(s)

CARTER ET AL.

Art Unit

2442

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to the amendment file on 2/22/2011.
2. ☒ The allowed claim(s) is/are 8-14, 21-25, 27 and 28.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
a) ☐ All b) ☐ Some* c) ☐ None of the:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

* Certified copies not received: _____.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.
THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
(a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
1) ☐ hereto or 2) ☐ to Paper No./Mail Date _____.
(b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date _____.
Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☐ Information Disclosure Statements (PTO/SB/08),
Paper No./Mail Date _____
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application
6. ☐ Interview Summary (PTO-413),
Paper No./Mail Date _____
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other _____.

/Douglas B Blair/
Primary Examiner, Art Unit 2442

EXAMINER'S AMENDMENT

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Joe Mehrle on 4/19/2011.

The application has been amended as follows:

IN THE CLAIMS:

1-7. (Canceled)

8. (Currently Amended) A method implemented in a non-transitory computer-readable medium and for executing on a proxy server the method for policy and attribute based access to a resource, comprising:

receiving, at the proxy server, a session request for access to a resource, the session request is sent from a service and includes alias identity information for a principal, the alias identity information includes a random password and a random principal identification, the alias identity information is randomly generated for identity information, the identity information identifies a true identity for the principal;

mapping, by the proxy server, the alias identity information to the identity information of the principal, the identity information associated with the true identity of the principal whereas the alias identity information is the random password and the random principal identification and the identity information and the true identity of the principal is available to the proxy server but not the service or the resource;

authenticating, by the proxy server, the identity information;

acquiring, by the proxy server, a service contract for the principal, the service, and the resource, the service contract is derived from an identity configuration for the principal and the identity configuration represents aggregated access policies and attributes for the principal with respect to the resource and all known services that are available to the principal, each service is an application or system that the principal uses to gain access to the resource;

obtaining from the service contract selective resource access policies and attributes which are permissibly used by the service when accessing the resource on behalf of the principal;

defining, via the service contract, a tripartite relationship among the principal, the service, and the resource, the service contract is derived from an identity configuration of the principal, the service contract including security strictures for the tripartite relationship including the selective resource access policies and the attributes, the access policies define operations that the service can and cannot perform on behalf of the principal against the attributes of the resource the attributes define specific data fields defined within the resource; and

establishing, by the proxy server, a session with the service, the session is controlled by the service contract, the service interacts through the proxy server with a Lightweight Directory Access Protocol (LDAP) legacy interface for the resource to make access requests for the principal in a format that is handled by the LDAP legacy interface and the LDAP legacy interface is not modified to handle the access requests, the access requests are in accordance with the service contract; and

managing, at the proxy server, the session by acting as an intermediary between the service and the legacy LDAP interface which has access privileges to the resource.

9. (Previously Presented) The method of claim 8 further comprising accessing, by the proxy server, the identity configuration for the principal in order to acquire the selective resource access policies and attributes included within the service contract.

Art Unit: 2442

10. (Previously Presented) The method of claim 8 further comprising denying, by the proxy sever, access attempts made by the service during the session when the access attempts are not included within the service contract.

11. (Previously Presented) The method of claim 8 further comprising terminating, by the proxy server, the session when an event is detected that indicates the service contract is compromised or has expired.

12. (Previously Presented) The method of claim 8 further comprising establishing, by the proxy sever, the service contract with the principal prior to receiving the session request.

13. (Previously Presented) The method of claim 12 further comprising reusing, by the proxy sever, the service contract to establish one or more additional sessions with the service, wherein the one or more additional sessions are associated with one or more additional session requests made by the service.

14. (Original) The method of claim 12 wherein the establishing further includes establishing the service contract with the principal in response to a redirection operation performed by a proxy that intercepts a browser request issued from the principal to the service for purposes of accessing the resource.

15-20. (Canceled)

21. (Currently Amended) A policy and attribute based resource session manager, residing in a non-transitory computer-accessible medium and for executing on a proxy server, comprising instructions for establishing a session with a resource, the instructions when executed performing the method of:

receiving, at the proxy server, alias identity information from a service, the alias identity information is associated with a principal, and the alias identity information includes a random password and a random principal identification, the alias identity information is randomly generated for principal identity information of the principal and the principal identity information identifies a true identity of the principal;

requesting, by the proxy server, a mapping of the alias identity information to the principal identity information, the principal identity information associated with the true identity of the principal whereas the alias identity information is the random password and the random principal identification and the principal identity information and the true identity of the principal is available to the proxy server but not the service or the resource;

requesting, by the proxy server, authenticating of the identity information; requesting, by the proxy server, a service contract for the principal, the service and a resource, the service contract includes selective resource access policies and attributes, the service contract is derived from an identity configuration and the identity configuration represents aggregated access policies and attributes for the principal with respect to the resource and all known services that are available to the principal, each service is an application or system that the principal uses for gaining access to the resource;

defining, via, the service contract a tripartite relationship among the principal, the service, and the resource, the service contract including security strictures for the tripartite relationship

including the selective resource access policies and the attributes, the access policies define operations that the service can and cannot perform on behalf of the principal against the attributes of the resource the attributes define specific data fields defined within the resource; and

establishing, by the proxy server, a session with the service and the resource, the session is controlled by the service contract and the service makes access requests to a Lightweight Directory Access Protocol (LDAP) legacy interface of the resource on behalf of the principal, the access requests made in a format handled by the LDAP legacy interface and the LDAP legacy interface is not modified to handle the access requests; and

Art Unit: 2442

managing, at the proxy server, the session by acting as an intermediary between the service and the legacy LDAP interface which has access privileges to the resource.

22. (Previously Presented) The policy and attribute based resource session manager of claim 21 having instructions further comprising, permitting, at the proxy server, the service to indirectly access an identity store which represents the resource, and wherein the identity store includes secure information related to the principal.

23. (Previously Presented) The policy and attribute based resource session manager of claim 21 having instructions further comprising terminating, at the proxy server, the session when the service contract expires or is compromised.

24. (Original) The policy and attribute based resource session manager of claim 21, wherein the requesting of the mapping further includes interacting with an alias translator.

25. (Original) The policy and attribute based resource session manager of claim 21, wherein the requesting of authentication further includes interacting with an identification authenticator.

26. (Cancelled)

27. (Currently Amended) The policy and attribute based resource session manager of claim ~~26~~ 21, wherein the receiving further includes intercepting a session request that is issued from the service for the legacy LDAP application interface, wherein the session request includes the alias identity information.

28. (Currently Amended) The policy and attribute based resource session manager of claim 27 having instructions further comprising managing, at the proxy server, the session with respect to the service as if the policy based resource session manager were the legacy LDAP application interface.

29. (Cancelled).

Reasons For Allowance

The following is an examiner's statement of reasons for allowance: The applicant's amendments have overcome the rejections presented in the previous office action. An updated search revealed U.S. Patent Numbers 7,320,074 and 7,146,635 to Eggebraaten et al. The current Examiner's amendment distinguishes from the Eggebraaten references because Eggebraaten shows the use of LDAP applications and a tripartite relationship in the same context as claimed (col. 6, lines 20-27 and col. 6, lines 46-52) but Eggebraaten does not have a proxy acting as an intermediary but instead the LDAP applications discussed in Eggebraaten provide a validation that is then used access the resource separately..

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Any inquiry concerning this communication or earlier communications from the examiner should be directed to DOUGLAS B. BLAIR whose telephone number is (571)272-3893. The examiner can normally be reached on 9:00am-5:30pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Glen Burgess can be reached on (571) 272-3949. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/Douglas B Blair/
Primary Examiner, Art Unit 2442